

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 10575-002001	Application No. 09/272,542
<b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary)		Applicant Peter B. Madoff et al.	
		Filing Date March 19, 1999	Group Art Unit 3621
(37 CFR §1.98(b))			

Other Documents (include Author, Title, Date, and Place of Publication)		
Examiner Initial	Design ID	Document
	A1	Brooks, "Instinet Corporation", SEC-No Action Letter, Fed. Sec. L. Rep. P 78,997, 1986 WL 67657, pp. 1-27.
	A2	Wunsch, "Arizona Stock Exchange", SEC-No Action Letter, 1997 WL 11862, pp. 1-12.
	A3	SEC Release No. 34-36367, "Self-Regulatory Organization: Delta Government Options Corp.; Order Approving Implementation of New Procedures for the Clearance and Settlement of Repurchase Transactions and Reverse Repurchase Transactions", 60 SEC-Docket 1216-2, October 13, 1995.
	A4	SEC Release No. 34-27611, "Self-Regulatory Organization: Delta Government Options Corp.; Order Granting Temporary Registration as a Clearing Agency", 45 SEC-Docket 388-263, January 12, 1990.
	A5	SEC Release No. 34-28899, "Self-Regulatory Organizations; Wunsch Auction Systems, Inc.; Order Granting Limited Volume Exemption from Registration as an Exchange under Section 5 of the Securities Exchange Act", 48 SEC Docket 402-152, Feb. 20, 1991.
	A6	Klein, "B&K Securities, Inc. Inquiry Letter", NO-ACT, NAFT WSB File No. 042285012, April 16, 1985.
	A7	Slevin, "93-94 CCH Dec., FSLR ¶76.837, Cantor Fitzgerald, G.P. Inquiry Letter", NO-ACT, NAFT WSB File No. 032194021, October 1, 1993.
	A8	Olberg, "Capital Link Securities Corp. Inquiry Letter", NO-ACT, NAFT WSB File No. 100686002, September 30, 1986.
	A9	Olberg, "Capital Link Securities Corp. Inquiry Letter 1 and Inquiry Letter 2", NO-ACT NAFT WSB File No. 041690014, April 10, 1990.
	A10	Fondren, "Interwest Financial Services, Inc. Inquiry Letter", NO-ACT NAFT WSB File No. 112392013, November 25, 1992.
	A11	Branch, "Exchange Services, Inc. Inquiry Letter", NO-ACT NAFT WSB File No. 081285010, June 22, 1985.
	A12	Branch, "91 CCH Dec., FSLR ¶79.804, Exchange Services, Inc. Inquiry Letter", NO-ACT, NAFT WSB File No. 090991011, September 11, 1991.
	A13	Hood, "91-92 CCH Dec., FSLR ¶76.093, Instinet Corp. Inquiry Letter", NO-ACT, NAFT WSB File No. 120991004, December 6, 1991.
	A14	Feller, "91-92 CCH Dec., FSLR ¶76.097, Jefferies & Co., Inc. Inquiry Letter", NO-ACT, NAFT WSB File No. 010692003, December 31, 1991.
	A15	Feller, "93 CCH Dec., FSLR ¶76.718, Lattice Trading, Inc. Inquiry Letter", NO-ACT, NAFT WSB File No. 091393002, September 10, 1993.
	A16	Brooks, "91-92 CCH Dec., FSLR ¶76.092, Fagin, Kopley & Hanson, Inc. Staff Reply Letter", NO-ACT, NAFT WSB File No. 112591019, November 25, 1991.
	A17	Glenn, "Nat'l. Partnership Exchange, Inc. Inquiry Letter", NO-ACT, NAFT WSB File No. 081886013, August 13, 1986.

Examiner Signature	Date Considered
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Substitute Disclosure Form (PTO-1449)

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /CH/

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	A18	Simon, "85-86 CCH Dec., FSLR ¶78,161, Nat'l Partnership Exchange, Inc. Staff Reply Letter", NO-ACT, NAFT WSB File No. 090985009, September 1, 1985.
	A19	Weissler, "New York Securities Auction Corp. Inquiry Letter", NO-ACT, NAFT WSB File No. 062590005, June 15, 1990.
	A20	Feller, "87-88 CCH Dec., FSLR ¶78,515, Jefferies & Co., Inc. Inquiry Letter", NO-ACT, NAFT, WSB File No. 080387006, July 28, 1987.
	A21	McTamaney, "RMJ Securities Corp. Inquiry Letter", NO-ACT, NAFT WSB File No. 011789008, January 12, 1989.
	A22	Roiter, "Security Pacific Nat'l. Bank Inquiry Letter", NO-ACT, NAFT WSB File No. 081985007, August 18, 1985.
	A23	Roiter, "Security Pacific Nat'l. Bank Inquiry Letter", NO-ACT, NAFT WSB File No. 082586014, August 19, 1986.
	A24	Tario et al., "Transaction Services Inquiry Letter and Staff Reply Letter", NO-ACT, NAFT WSB File No. 061785011, June 15, 1985.
	A25	Hewitt, "Troster Singer Corp. Inquiry Letter and Staff Reply Letter", NO-ACT, NAFT WSB File No. 081285011, June 23, 1985.
	A26	United States Securities and Exchange Commission, Division of Market Regulation, "Market 2000: An Examination of Current Equity Market Developments -- Appendix IV: Description of Proprietary Trading Systems", January 1994.

Examiner Signature	/Calvin Loyd Hewitt II/	Date Considered	08/12/2009
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